

MARYLAND JUDICIARY
FINANCIAL DISCLOSURE STATEMENT

The Court of Appeals has adopted this form in response to the suggestion contained in Code, General Provisions Article, §5-610 that the Court promulgate and administer rules to require members of the Judiciary, retired judges approved for recall, and certain judicial appointees to disclose particularly relevant information concerning their financial affairs. Accordingly, and pursuant to the authority contained in Article IV, §18 (a) of the Maryland Constitution and Maryland Rules 18-603 and 18-604, the attached instructions, definitions, and Schedules A through I, inclusive, have been promulgated by the Court of Appeals of Maryland.

NOTE: Please read all instructions, including all definitions, before completing the Maryland Judiciary Financial Disclosure Statement.

MARYLAND JUDICIARY
FINANCIAL DISCLOSURE STATEMENT

GENERAL – INSTRUCTIONS AND DEFINITIONS

Individuals Required to File Statements

Any individual who holds an office or position listed in this Section is required to file this Statement if he/she falls within the provisions of Paragraphs 1, 2, or 3 of the following section “When to File”.

1. Judge of the Court of Appeals.
2. Judge of the Court of Special Appeals.
3. Judge of a Circuit Court.
4. Judge of the District Court of Maryland.
5. Former judge approved for recall for temporary service under Maryland Constitution, Article IV, section 3A.
6. Judge of an Orphans’ Court.
7. The following judicial appointees in these instructions and definitions:
 - (a) a full or part-time magistrate;
 - (b) a commissioner appointed by a District Administrative Judge with the approval of the Chief Judge of the District Court of Maryland; and
 - (c) an auditor or examiner who is full-time or who earns in any calendar year, by reason of the judicial appointee’s official position, compensation at least equal to the pay provided for the base step of State Pay Grade 16, as in effect on July 1 of that calendar year. If an auditor or examiner has served as such for only a portion of a calendar year, a pro rata determination of compensation shall be applied.

When To File

1. **General Rule.** Any judge or appointee holding an office set forth above, on December 31, of the current year, shall on or before April 30, of the following year, file this “Maryland Judiciary Financial Disclosure Statement”.
2. **Individuals Who are Newly-Appointed.** With respect to a newly-appointed judge or appointee who does not have a current financial disclosure statement on file, they shall file a statement for the previous year, within 30 days after appointment.
3. **Individuals Who Leave Office.** An individual who leaves office or employment during a year shall file a statement within 60 days after leaving office for the period from January 1 of that year through the last day in office or employment.

Reporting Periods

1. **General Rule.** A financial disclosure statement shall cover the previous calendar year, except as provided in paragraph 2 below.

2. Individuals Who Leave Office During Year. With respect to a judge who is defeated for election to an elected term of office, or who fails to be confirmed by the Senate, or a judge or appointee who resigns, retires, or otherwise leaves office or employment during a year, the reporting period begins with January 1 of that year and ends with the date he/she leaves office or employment. Please complete the “Other Reporting Period” section on the front sheet.

Where to File

Each individual who is required to file this statement because he/she holds an office or position set forth above shall file one copy with the Administrative Office of the Courts, Human Resources Department, Maryland Judicial Center, 580 Taylor Avenue, Building A-1, Annapolis, Maryland 21401.

Where to Get Forms

The form and instructions may be downloaded from the Judiciary homepage at <http://www.mdcourts.gov/reference/financialdisclosure.html>. A hard copy of the form may be requested by contacting either Debra Kaminski (debra.kaminski@mdcourts.gov)/(410) 260-1271) or Connie Winkel (connie.winkel@mdcourts.gov)/(410) 260-1275) at the Administrative Office of the Courts’ Human Resources Department. The form may also be filed electronically through online submission. Please contact the individuals above for more information.

General Definitions

3. “Business Entity” - includes a corporation, general or limited partnership, limited liability company, sole proprietorship, joint venture, unincorporated association, real estate investment trust, or other business trust, if regularly engaged in doing business with the public, whether profit or nonprofit.
4. “Child” - includes a child, adopted child, stepchild, foster child, or grandchild, of whatever age.
5. “Directly or Indirectly Controlled” - means legal control or a present beneficial interest.
4. “Interest” - means any legal or equitable interest, whether or not subject to an encumbrance or a condition, which was owned or held, in whole or in part, jointly or severally, directly or indirectly, at any time during the reporting period.
“Interest” includes an interest in: any stock or similar security, pre-organization certificate or subscription, investment contract, voting trust certificate, limited or general partnership or joint venture, business trust, or certificate of interest or participation in a profit sharing agreement or in an oil, gas or other mineral royalty or lease; a certificate or instrument of deposit for any of the foregoing; a certificate or instrument of interest or participation in, or a certificate or instrument convertible, with or without consideration, into, or a guarantee of, or

warrant or right to subscribe to or purchase, any of the foregoing; a put, call, straddle, or other option or privilege, of subscribing to or purchasing any of the foregoing or any other equity interest, however evidenced, which entitles the owner or holder thereof, directly or indirectly, alone or in concert with others, to receive or direct any part of the profits from, or to exercise any part of the control over, a business entity, as well as any interest which, conditionally with or without consideration, is convertible thereto. "Interest" also includes an interest in a note, bond, debenture, or any other evidence of a creditor interest. However, except as specifically provided "interest" includes neither an interest held solely in the capacity of a personal representative, agent, custodian, fiduciary or trustee, nor an interest in a time or demand deposit in a financial institution, nor an interest in an insurance or endowment policy or annuity contract under which an insurance company promises to pay a fixed number of dollars either in a lump sum or periodically for life or some other specified period; nor a common trust fund or trust that forms part of a pension or a profit-sharing plan that has more than 25 participants and which is determined by the Internal Revenue Service to be a qualified trust or college savings plan under the Internal Revenue Code. [General Provisions Article, § 5-101(t)(2)(iv)]

5. "Attributable Interest" - the following are considered to be interests attributable to you and must be reported.
 - (A) Any interest held by your spouse or child, if, at any time during the reporting period, the interest was directly or indirectly controlled by you.
 - (B) Any interest held by a business entity in which the individual held a 30% or greater equity interest at any time during the reporting period.
 - (C) Any interest held by a trust under which, at any time during the reporting period, you held a reversionary interest or were a trustor, if a revocable trust, or a beneficiary. You should indicate whether the interest held is held directly by you or indirectly as an attributable interest. Indicate whether the interest is fee simple, leasehold, or other limited one, and whether it is individually held, or held jointly or in common, and if the latter, the extent of the interest (e.g., 1/2, 1/3, 1/4).
 - (D) If you hold mutual funds in your name or in an IRA account, you must report them. If the mutual funds are in another individual's name, but you control the investments and/or make the contributions to acquire the funds, you need to report them.
 - (E) You need not report an interest in a common trust fund or a trust which forms part of a pension or profit-sharing plan that has more than 25 participants and which is determined by the Internal Revenue Service to be a qualified trust or college savings plan under the Internal Revenue Code B see Maryland Code, General Provisions Article, § 5-101(t)(2)(iv).
6. "Person" - includes any natural person, corporation, partnership, trust, unincorporated association, or other organization, entity, or enterprise.
7. "Reporting Period" - means that period covered by this statement, e.g., a statement filed on or before April 30, 20XX, covers the period from and including January 1, through and including December 31, of the previous year.

8. “Other Reporting Period” – With respect to an individual who leaves office or employment during 2016, constitutes the period of time January 1, 2016 until the date the individual leaves office. With respect to an individual who leaves office or employment during 2017, constitutes the period of time January 1, 2017, until the date the individual leaves office.

GENERAL INSTRUCTIONS

Every filer should be aware that the financial disclosure statement is a public record subject to public disclosure upon request. It is recommended that filers minimize the potential misuse of their information for identity theft in the following ways:

- **You may identify all real properties by the county and state (or country if the property is located outside the US) in which they are located.**
- **Do not specify account numbers for interests at financial institutions.**
- **Do not list social security numbers**, even the last four numbers thereof.
- If attaching a financial summary or other document, please ***redact*** any identifying information such as home address, social security number and/or account numbers before submitting.

Do not enter a response to any question of “no change” (or words to like effect). Each response should be a stand-alone and contemporaneous response.

INSTRUCTIONS AND DEFINITIONS FOR SCHEDULE A

For purposes of Schedule A, “interest” includes any leasehold interest and interest in oil, gas or other mineral royalty or lease. For example, if you rent your dwelling, it should be listed.

BLOCK 2 - LOCATION OF PROPERTY - For the address of any **real property**, it is recommended to report **only the county and state** of the situs of each such property.

BLOCK 3 - TYPE - Type should include whether the property in which the interest is held is improved or unimproved, whether the property is residential, commercial, industrial, agricultural, or other, and if appropriate, whether the interest is a limited one, such as a mineral right.

BLOCK 4 - NATURE AND EXTENT - For purposes of Schedule A, the following are considered to be interests attributable to you and must be reported.

(A) Any interest held by your spouse or child, if, at any time during the reporting period, the interest was directly or indirectly controlled by you.

(B) Any interest held by a business entity in which you held a 30% or greater equity interest at any time during the reporting period.

(C) Any interest held by a trust, under which, at any time during the reporting period, you held a reversionary interest or were a trustor, if a revocable trust, or a beneficiary. You should indicate whether the interest held is held directly by you or indirectly as an attributable interest. Indicate whether the interest is fee simple, leasehold, or other limited one, and whether it is individually held, or held jointly or in common, and if the latter, the extent of the interest (e.g., 1/2 , 1/3, 1/4).

(D) You need not report an interest in a common trust fund or a trust which forms part of a pension or profit-sharing plan that has more than 25 participants and which is determined by the Internal Revenue Service to be a qualified trust or college savings plan under the Internal Revenue Code B see Maryland Code, General Provisions Article, §5-101(t)(2)(iv).

BLOCK 5 - CONDITIONS AND/OR ENCUMBRANCES - Report any and all contracts, options, and others which affect your interest.

Report any and all mortgages, liens, or others which affect your interest including name of the lender, creditor, lienor, or other. With respect to mortgages or deeds of trust, state the rate of interest, the principal balance at the end of the reporting period, and the amount by which principal balance was reduced during reporting period.

BLOCK 6 - DATE, MANNER AND IDENTITY - State whether interest was purchased, inherited, received as a gift, in exchange for something else, or other means of acquisition. Also give the identity of the person from whom the interest was acquired.

BLOCK 7 - VALUE - You should report the fair market value of the property for the reporting period, e.g., as reflected on your state, county, or city tax assessment valuation records at full value, unless you have a private appraisal made during the reporting period, in which case you should use the greater value of the two. If you acquired property during the current reporting period, state the consideration paid for the interest, or if no consideration, the fair market value of the property at the time of acquisition.

If you added capital improvements during the current reporting year, list each and the cost or fair market value of each. Capital improvements, as opposed to maintenance or upkeep, are the type of improvements that qualify for capital improvements treatment of income producing property under the Internal Revenue Code, or those adding substantially to the market value of the property.

BLOCK 8 - TRANSFER OF INTEREST - Any transfer of property during the current reporting period should be listed in BLOCK 8.

If the interest or any portion of the interest was transferred during the reporting period, a complete description of the interest or portion thereof transferred should be given, including the identity of the transferee.

INSTRUCTIONS AND DEFINITIONS FOR SCHEDULE B

All interests in all corporation(s) held during the reporting period must be reported.

BLOCK 3 - NATURE AND EXTENT - For purposes of Schedule B, the following are considered to be interests attributable to you and must be reported:

- (A) Any interest held by your spouse or child if, at any time during the reporting period, the interest was directly or indirectly controlled by you.
- (B) Any interest held by a business entity in which you held a 30% or greater equity interest at any time during the reporting period.
- (C) Any interest held by a trust under which, at any time during the reporting period, you held a reversionary interest or were a trustor, if a revocable trust, or a beneficiary. You should indicate whether the interest is held directly by you or indirectly as an attributable interest. Indicate whether the interest is individually held or held jointly or in common, and, if the latter, the extent of the interest (e.g., $\frac{1}{2}$, $\frac{1}{3}$, $\frac{1}{4}$).
- (D) If you own mutual funds, directly or in an IRA account, you must report them. If the mutual funds are in another individual's name, but you control the investments and/or make the contributions to acquire the funds, you need to report them.
- (E) You need not report an interest in a common trust fund or a trust which forms part of a pension or profit-sharing plan that has more than 25 participants and which is determined by the Internal Revenue Service to be a qualified trust or college savings plan under the Internal Revenue Code B see Maryland Code, General Provisions Article, § 5-101(t)(2)(iv).

BLOCK 4 - SHARES - Use BLOCK 4 to report the number of shares you own in the corporation, if the corporation's stock is publicly traded in a stock exchange or in an over-the-counter market.

BLOCK 5 - If the corporation's stock is not "publicly traded", skip BLOCK 4 and use BLOCK 5 to report the number of shares and percentage of ownership (or dollar amount owned) in the corporation.

BLOCK 6 - CONDITIONS AND ENCUMBRANCES - Report any and all contracts, options, or others which affect your interest. Report any and all liens, others, which affect your interest, including the name of the creditor.

BLOCK 7 - OTHER INTERESTS - Describe any "interest" included in the definition of "interest" set forth in "General Definitions" other than stock or similar security. This includes such "interests" as bonds, notes, puts, calls, straddles, purchase options, or others.

BLOCK 8 - TRANSFER OF INTEREST - If the interest or any portion of the interest was transferred during the reporting period, describe in detail the interest or portion thereof transferred, including the nature and amount of consideration received and identity of transferee, if known. If the interest was sold at market, through a broker, neither the identity of the transferee nor the amount of consideration need be given. Merely state "Sold at market through stockbroker". Transfer of interest does not include stock dividends or dividend reinvestment.

INSTRUCTIONS AND DEFINITIONS FOR SCHEDULE C

BLOCK 3 – NATURE, EXTENT AND AMOUNT - For purposes of Schedule C, the following are considered to be interests attributable to you and must be reported:

(A) Any interest held by your spouse or child if, at any time during the reporting period, the interest was directly or indirectly controlled by you.

(B) Any interest held by a business entity in which you held a 30% or greater equity interest at any time during the reporting period.

(C) Any interest held by a trust under which, at any time during the reporting period, you held a reversionary interest or were a trustor, if a revocable trust, or a beneficiary. You should indicate whether the interest held is held directly by you or indirectly as an attributable interest. Indicate whether the interest is individually held or held jointly or in common, and, if the latter, the extent of the interest (e.g., 1/2, 1/3, 1/4).

(D) You need not report an interest in a common trust fund or a trust which forms part of a pension or profit-sharing plan that has more than 25 participants and which is determined by the Internal Revenue Service to be a qualified trust or college savings plan under the Internal Revenue Code B see Maryland Code, General Provisions Article, § 5-101(t)(2)(iv).

BLOCK 4 - CONDITIONS AND ENCUMBRANCES - Report any and all contracts, pledges, options, and others affecting your interest.

Report any liens, others, affecting your interest, including the name of each creditor.

BLOCK 5 - TRANSFER OF INTEREST - If the interest or any portion of the interest was transferred during the reporting period, describe in detail the interest or portion thereof transferred, including the nature and amount of consideration received and identity of transferee, if known. As to bonds, debentures, or others, sold at market through a broker, follow the instructions for Schedule B, BLOCK 8.

In reporting obligations of others, you need not report deposits with financial institutions, such as banks, building associations, credit unions, or the like.

Agreements with a former law firm or successor in practice under § 1-203 of the Courts Article shall be reported on this Schedule as an obligation of another or on Schedule E; but, in either case, the amount received during the reporting period must be stated.

INSTRUCTIONS FOR SCHEDULE D

Except as provided below, list and describe separately each gift of cash, negotiable instrument or tangible property that was received during the reporting period by you, your spouse, or any member of your immediate family resident in your household. This includes reimbursements from third parties for such things as honorarium, airfare, accommodations, food, and materials for attendance at educational programs. "Third parties" does not include the State of Maryland, federal government, foreign governments, National Center for State Courts, National Judicial College, and similarly-situated entities.

You need not report a single gift that, when received, has a value of \$250 or less. If the total gifts received from the same person over the course of the reporting period are valued in excess of \$500, you must report them.

You need not report on this Schedule the following gifts, regardless of value:

- (1) Gifts received from the following relatives:
 - a. Parents
 - b. Grandparents
 - c. Great grandparents
 - d. Uncles or aunts
 - e. Brothers or sisters
 - f. Nephews or nieces
 - g. Children
 - h. Grandchildren
 - i. Great-grandchildren
 - j. First cousins
- (2) Gifts received from your spouse or his or her relatives listed in (1) above.
- (3) Gifts received from the spouse of any relative listed in (1) above.
- (4) Gifts received from a domestic partner (as that term is defined in Md. Rule 18-100.3 for purposes of Rule 18-102.11 or a relative or close personal friend whose appearance or interest in a case would require disqualification of the reporting judge under Md. Rule 18-102.11).
- (5) Wedding and shower gifts.
- (6) Campaign contributions.
- (7) Gifts of books for official use.
- (8) Bar and Bat Mitzvah gifts.

For each gift, name the donor and state your best estimate of its value. Attach additional sheets as necessary.

INSTRUCTIONS AND DEFINITIONS FOR SCHEDULE E

BLOCKS 1 through 4 of Schedule E are self-explanatory. In BLOCK 5, report any compensation received during the reporting period and not reported elsewhere in Schedule E, except compensation for the performance of judicial duties. Included should be all compensation in excess of \$250 not excepted above, whether in the form of a loan, honorarium, or otherwise, for services performed or to be performed by the recipient, and compensation from a former law practice paid under § 1-203 of the Courts Article, unless reported on Schedule C or D.

INSTRUCTIONS AND DEFINITIONS FOR SCHEDULE F

Except as provided below, you must report all loans owed by you at any time during this reporting period to any person and all liabilities owed by your spouse and/or child, at any time during this reporting period, to any person, if you were involved in the transaction giving rise to the liability.

Whether owed by you, your spouse, or your child, do not report any of the following:

1. A loan reported elsewhere in this statement.
2. A loan which does not exceed \$250 and which was owed for a period of less than seven consecutive calendar days.
3. A loan against the cash surrender value of a life insurance policy or certificate of deposit owned by you, your spouse, or child.
4. Unsecured, open-end consumer credit accounts, i.e., credit card accounts, whether issued by a retailer or a bank. You must disclose installment loans, mortgages, car loans, or other time-fixed liabilities.
5. Loans owed to a relative within relationships listed in Schedule D.

SCHEDULES G AND H

Schedules G and H are self-explanatory, so no specific instructions are provided. On Schedule G, for Name and Address of Employer, you may list only the county and state in the event you believe there might be a security issue created by listing a full address.

SCHEDULE I

This is an optional schedule. Use this Schedule for an “interest” as defined, or other information which you have not been required to disclose on Schedules A through H, but which you wish to disclose.